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Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Complete if Known</b>	
				Application Number	09/843,597
				Filing Date	April 26, 2001
				First Named Inventor	Thomas W. Mossberg
				Art Unit	3633-2872
				Examiner Name	Not Yet Assigned C. Curtis
				Attorney Docket Number	5455P001X
Sheet	1	of	1		

## OTHER ART - NON PATENT LITERATURE DOCUMENTS

[illegible]

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Examiner Signature	<i>Braugh Curtis</i>	Date Considered	23 June '04
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Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet	i	of	11
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**Complete If Known**

Application Number	09/843,597
Filing Date	April 26, 2001
First Named Inventor	Thomas W. Mossberg
Group Art Unit	2872
Examiner Name	E. Cwiter
Attorney Docket Number	005455.P002

## U.S. PATENT DOCUMENTS

Exam. Initials	Cite No.	Document Number	Date	Name	Class	Sub-class	Filing Date (if appropriate)
orc	1	4,140,362	02/20/79	Tien			
orc	2	4,387,955	06/14/83	Ludman et al.			
orc	3	4,660,934	04/28/87	Akiba et al.			
orc	4	4,740,951	04/26/88	Lizet et al.			
orc	5	4,743,083	05/10/88	Schimpe			
orc	6	4,746,186	05/24/88	Nicia			
orc	7	4,773,063	09/20/88	Hunsperger et al.			
orc	8	4,786,133	11/22/88	Gidon et al.			
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orc	13	5,107,359	04/21/92	Ohuchida			
orc	14	5,195,161	03/16/93	Adar et al.			
orc	15	5,357,591	10/18/94	Jiang et al.			
orc	16	5,450,511	09/12/95	Dragone			
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orc	20	6,011,884	01/04/00	Dueck et al.			

## FOREIGN PATENT DOCUMENTS

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Signature**

Craig H. Curtis

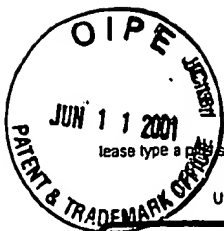
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			Attorney Docket Number	005455.P002	
Sheet	3	of	11		

OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
<del>one</del>	<del>1</del>	<del>B.A. CAPRON, ET AL., Design and Performance of a Multiple Element Slab Waveguide Spectrograph for Multimode Fiber-Optic WDM Systems., Journal of LightWave Technology, Vol. 11 No. 12., December 1993., IEEE Log No.9211169, Pgs. 2009-2014</del>
<del>one</del>	<del>2</del>	<del>R.J. DERI, ET AL., Quantitative Analysis of Integrated Optic Waveguide Spectrometers., IEEE Photonics Technology Letters, Vol. 6, No. 2, February 1994., Pgs.242-244.</del>
<del>one</del>	<del>3</del>	<del>A. GRUNNET-JEPSEN, ET AL., Fibre Bragg grating based spectral encoder/decoder for lightwave CDMA. Electronics Letters Vol. 35., No. 13., June 24th, 1999., Pgs. 1096-1097</del>
<del>one</del>	<del>4</del>	<del>P.PADDON AND JEFF F. YOUNG, Simple approach to coupling in textured planar waveguides, Optical Society of America 1998, Vol. 23, No. 19. Pgs. 1529-1531.</del>
<del>one</del>	<del>5</del>	<del>C.K. MADSEN, ET AL., Planar Waveguide Optical Spectrum Analyzer Using a UV-Induced Grating, IEEE Journal of selected topics in quantum electronics, Vol. 4, No. 6, November 1998, Pgs. 925-929</del>
<del>one</del>	<del>6</del>	<del>EMILIO GINI, ET AL., Polarization Independent InP WDM Multiplexer/Demultiplexer Module., Journal of Lightwave Technology, Vol. 16, No. 4., April 1998, Pgs. 625-630.</del>
<del>one</del>	<del>7</del>	<del>ROBERT W. DAY, ET AL., Filter-Response Line Shapes of Resonant Waveguide Gratings., Journal of Lightwave Technology. Vol. 14, No. 8, August 1996., Pgs. 1815-1824.</del>
<del>one</del>	<del>8</del>	<del>K.A. MCGREER., Tunable Planar Concave Grating Demultiplexer., IEEE Photonics Technology Letters, Vol. 8. No. 4, April 1996., Pgs. 551-553.</del>
<del>one</del>	<del>9</del>	<del>SUNING TANG, ET AL., A Novel Wavelength-Division-Demultiplexer with Optical In-Plane to Surface-Normal Conversion., IEEE Photonics Technology Letters, Vol. 7, No. 8, August 1995</del>
<del>one</del>	<del>10</del>	<del>K.A. MCGREER., Diffraction from Concave Gratings in Planar Waveguides., IEEE Photonics Technology Letters, Vol. 7. No. 3, March 1995., Pgs. 324-326.</del>
<del>one</del>	<del>11</del>	<del>HIROKAZU TAKENOUCI, ET AL., Analysis of optical-signal processing using an arrayed-waveguide grating., Optics Express, Vol. 6, No. 6, March 13, 2000., Pgs. 124-135.</del>
<del>one</del>	<del>12</del>	<del>A.GRUNNET-JEPSEN, ET AL., Demonstration of All-Fiber Sparse Lightwave CDMA Based on Temporal Phase Encoding., Photonics Technology Letters, Vol. 11 No. 10, Oct. 1999.</del>

Examiner Signature	<i>Orwig H. Curtis</i>	Date Considered	23 June 04
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			First Named Inventor	<b>Thomas W. Mossberg</b>
			Group Art Unit	<b>2872</b>
			Examiner Name	<b>C. Curtis</b>
			Attorney Docket Number	<b>005455.P002</b>
Sheet	<b>4</b>	of	<b>11</b>	

OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
<del>all</del>	<del>13</del>	<del>RANDALL BABBITT, ET AL., Optical waveform processing and routing with structured surface gratings., Optics Communications 148, 1998., Pgs. 23-26.</del>
<del>all</del>	<del>14</del>	<del>GERALD A. BRIGHAM, ET AL., Analysis of scattering from large planar gratings of compliant cylindrical shells., Acoust Society of America, Vol. 61, No. 1, January 1977. pgs. 48-59.</del>
<del>all</del>	<del>15</del>	<del>T. KUROKAWA, ET AL., Time-space-conversion optical signal processing using arrayed-waveguide grating., Electronics Letters Vol. 33, No. 22, October 23, 1997. Pgs. 1890-1891.</del>
<del>all</del>	<del>16</del>	<del>AASMUND SV. SUDBO, ET AL., Reflectivity of Integrated Optical Filters Based on Elliptic Bragg Reflectors., Journal of Lightwave Technology Vol. 8, No. 6, June 1990. Pgs. 998-1006.</del>
<del>all</del>	<del>17</del>	<del>CHARLES H. HENRY., Four-Channel Wavelength Division Multiplexers and Bandpass Filters Based on Elliptical Bragg Reflectors., Journal of Lightwave Technology Vol. 8. No. 5, May 1990</del>
<del>all</del>	<del>18</del>	<del>IEEE., Pgs. 748-755.</del>
<del>all</del>	<del>18</del>	<del>E.M. KOONTZ, ET AL., Preservation of rectangular-patterned InP gratings overgrown by gas source molecular beam epitaxy., Appl. Phys. Lett Vol. 71, No. 10, September 1997., pgs. 1400-1402.</del>
<del>all</del>	<del>19</del>	<del>SEOK HO SONG, ET AL., Focusing-grating-coupler arrays for uniform and efficient signal distribution in a backboard optical interconnect., Optical Society of America 1995., Applied Optics Vol. 34, No. 26., September 10, 1995., Pgs. 5913-5919.</del>
<del>all</del>	<del>20</del>	<del>JOHN C. BRAZAS, ET AL., Analysis of input-grating couplers having finite lengths., Applied Optics Vol. 34, No. 19., July 1, 1995., Pgs. 3786-3792.</del>
<del>all</del>	<del>21</del>	<del>KEITH A. BATES, ET AL., Gaussian beams from variable groove depth grating couplers in planar waveguides., Applied Optics Vol. 32, No. 12., April 20, 1993., Pgs. 2112-2116.</del>
<del>all</del>	<del>22</del>	<del>S.S. WANG, ET AL., Theory and applications of guided-mode resonance filters., Applied Optics Vol. 32 No. 14., May 10, 1993., Pgs. 2606-2613.</del>
<del>all</del>	<del>23</del>	<del>R. MAGNUSSON, ET AL., New Principle for optical filters., American Institute of Physics 1992., Appl. Phys. Lett. Vol. 61, No. 9., August 31, 1992., Pgs. 1022-1024.</del>
<del>all</del>	<del>24</del>	<del>S.M. OJHA, ET AL., Demonstration of low loss integrated InGaAsP/InP demultiplexer device with low polarisation sensitivity., Electronics Letter Vol. 29, No. 9., April 29, 1993.</del>

Examiner Signature	<b>Orang H. Cui</b>	Date Considered	<b>23 June '04</b>
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ATTY. DOCKET NO.

**SERIAL NO.**

005455.P002

**09/843,597**

**APPLICANT**

**Thomas W. Mossberg**

FILING DATE

GROUP

**April 26, 2001**

2872

## INFORMATION DISCLOSURE CITATION

*(Use several sheets if necessary)*

## U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

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					YES	NO

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

**M.A. COWIN, ET AL., Compact polymeric wavelength division multiplexer., Electronics Letters Vol. 35., No. 13., June 24, 1999., Pgs. 1074-1076.**

**J. CANNING, ET AL., Grating structures with phase mask period in silica-on-silicon planar waveguides., 1999 Elsevier Science B.V., Optics Communications 171., Pgs. 213-217.**

**P.K. TIEN, ET AL., Use of concentric-arc grating as a thin-film spectrograph for guided waves., 1980 American Institute of Physics., Pgs. 524-525.**

**EXAMINER**

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FOREIGN PATENT DOCUMENTS

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**M.R. WANG, ET AL., Five-channel polymer waveguide wavelength division demultiplexer for the near infrared., IEEE Photonics Technology Letters, Vol. 3. No. 1., January 1991., Pgs. 36-38**

**MICHAEL R. WANG, ET AL., Wavelength-division multiplexing and demultiplexing on locally sensitized single-mode polymer microstructure waveguides., 1990 Optical Society America, Optics Letters Vol. 15, No. 7., April 1, 1990, Pgs. 363-365.**

**CHUNMENG WU, ET AL., Simplified coupled-wave equations for cylindrical waves in circular grating planar waveguides., Journal of Lightwave Technology, Vol. 10, No. 11, November 1992., Pgs. 1575-1589.**

**EXAMINER**

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**LOUAY ELDADA, ET AL., Dispersive properties of planar polymer bragg gratings., IEEE Photonics Technology Letters, Vol. 12, No. 7, July 7, 2000., Pgs.819-821.**

**RAY T. CHEN, ET AL., Guided-wave planar optical interconnects using highly multiplexed polymer waveguide holograms., Journal of Lightwave Technology, Vol. 10, No. 7, July 1992., Pgs. 888-897.**

**V. MINIER, ET AL., Diffraction characteristics of superimposed holographic gratings in planar optical waveguides., IEEE Photonics Technology Letters, Vol. 4, No. 10, October 1992**

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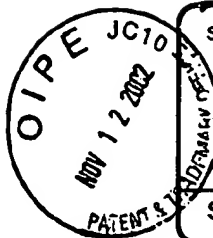
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		Number	Kind Code² (if known)			
CAC	1	4,440,468		Auracher, et al.	04-03-1984	
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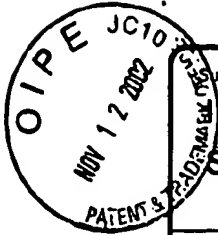
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OHC	6	SHOGO URA, ET AL., "Integrated Optic Wavelength Demultiplexer Using a Coplanar Grating Lens", Applied Optics, March 20, 1990, pp. 1369-1373, Vol. 29, No. 9, Optical Society of America, New York, USA	
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OHC	9	T. W. MOSSBERG, "Planar Holographic Optical Processing Devices", Optics Letters, April 1, 2001, pp. 414-416, Vol. 26, No. 7, Optical Society of America, USA	
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